

**IPRS**

**Integrated Payment  
and Reporting System**



**HIPAA Reporting Overview and 997  
Reporting Specifications**

Version 1.0

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# HIPAA Reporting Requirements Overview

The Health Insurance Portability and Accountability Act (HIPAA) was enacted in August 1996 and establishes standards for Electronic Data Interchange (EDI) health care transactions and national code sets, health care identifiers, security and privacy. It also establishes standards for ensuring the security of electronic health care transactions. All health plans, clearinghouses, and billing services that pay for or facilitate payments for health services must be able to send and receive transactions in the HIPAA standard format.

The challenge health care organizations face in the coming years may result from the Administrative Simplification and accountability aspects of the law. HIPAA sets a national framework for standardizing the electronic exchange of certain administrative and financial transactions, while providing security and protecting the privacy of transmitted information. It also provides incentives and mechanisms to fight fraud, abuse, and waste in health care.

Additional information including implementation guides for transaction sets and national code set listings are located at:

- The definitive source for information on HIPAA security and privacy compliance:  
<http://www.hipaacomply.com/>
- HCFA's Links to Other Web Sites for Administrative Simplification Information:  
<http://www.hcfa.gov/>
- EDI Implementation Guides:  
<http://www.wpc-edi.com>

**When reading the HIPAA Implementation Guide**, if you are unfamiliar with the X12N syntax used by the transaction sets, read **Appendix A, ASC X12 Nomenclature** first, before reading the introduction section.

**Note** 

*The IPRS will conform to current HIPAA implementation standards as defined to date as much as possible. Additional work is known to exist in order to become 100% HIPAA compliant in the future.*

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## IPRS HIPAA Transaction Sets

IPRS will use a variety of EDI transaction sets including:

- ASC X12N 277 – Unsolicited Response, which includes suspended claims
- ASC X12N 834 – Benefit Enrollment and Maintenance, to report client eligibility
- ASC X12N 835 – Health Care Payment and Remittance Advice, ERA
- ASC X12N 837 – Health Care Claim for Professional Claim
- ASC X12N 997 – Functional Acknowledgment, transmission successful

## HIPAA Reporting Requirements Overview (continued)

### Trading Partner Agreement (TPA)

The IPRS will exchange EDI transaction set with business entities known as *trading partners*. Prior to exchanging EDI transactions, a legal document known as the Trading Partner Agreement (TPA) must be established between EDS and the EDI Partner. The TPA identifies the EDI partners, transaction sets, usage of data requirements, and file specifications. Data mapping requirements are established on both internal and external basis:

- Internal data mapping process involves associating the traded data elements to the internal processing requirements for each business scenario involved in the transaction. Each billing provider must establish Internal Data Mapping with their software vendors which is consistent with the external Data Mapping requirements.
- External data mapping process involves the identification, definition and use of the various data elements that will be exchanged to meet each business requirement on each end of the exchange, *while complying with the HIPAA requirements as much as possible*. For Electronic Claims Filing and ERA, the IPRS Trading Partners are EDS and the billing providers. EDS provides External Data Mapping to the billing providers.

After the TPA is signed, the trading partner with file specifications performs tests using test data to verify compliance with transaction set mapping requirements. After achieving positive test results, the trading partner will be authorized to exchange electronic data with EDS according to the policies of the DMH/DD/SA Services.

### The 997 Functional Acknowledgement

The 997 is an acknowledgment that is produced when a transaction is sent. It is used to acknowledge acceptance or rejection of the transaction set. The 997 Transaction Set Response Trailer (AK5 Segment) is used to acknowledge acceptance or rejection and report errors in a transaction set. The 997 Functional Group Response Trailer (AK9 Segment) is used to acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted set, and the received sets in the functional group.

## 997 Transaction Layout

HIPAA FIELD - PAGE#	HIPAA FIELD NAME	FIELD LENGTH	DATA CONTENT
<b>INTERCHANGE CONTROL HEADER</b>		<b>Occurs 1 time</b>	<b>Required</b>
ISA	Interchange Control Header	3/3	ISA
ISA01	Authorization Information Qualifier.	2/2	00 - No Authorization Info Present
ISA02	Authorization Information	10/10	
ISA03	Security Information Qualifier	2/2	00 - No Security Info Present
ISA04	Security Information	10/10	
ISA05	Interchange ID Qualifier	2/2	ZZ - Mutually Defined Id for Sender in ISA06
ISA06	Interchange Sender ID.	15/15	Sender ID = Num. from Trading Partner Agreement
ISA07	Interchange ID Qualifier	2/2	ZZ - Mutually Defined Id for Sender in ISA08
ISA08	Interchange Receiver ID	15/15	DNC00
ISA09	Interchange Date	6/6	Date of the Interchange in YYMMDD format
ISA10	Interchange Time	4/4	Time of the Interchange in HHMM format
ISA11	Interchange Control Standards Identifier	1/1	U - US EDI Community of ANSI X12 standards
ISA12	Interchange Control Version Number	5/5	04010 - Version of above Standards
ISA13	Interchange Control Number	9/9	000000001 - Number assigned by sender. Must = the number in IEA02
ISA14	Acknowledgement Requested	1/1	1 - Code requesting an acknowledgement record
ISA15	Usage Indicator	1/1	T - Test Data P - Production Data
ISA16	Component Elem. Separator	1/1	Delimiter used to separate component elements
Example Segment ISA*00* *00* *ZZ*123456789 *ZZ*DNC00 *000901*1705*U*04010*000000001*1*T*::~~			
<b>FUNCTIONAL GROUP HEADER</b>		<b>Occurs 1 time</b>	<b>Required</b>
GS	Functional Group Header	2/2	GS
GS01	Functional Id Code	2/2	BE - Benefit Enrollment and Maintenance (834)
GS02	Application Senders Code	15/15	Same number as ISA06 - Identifies the Sender
GS03	Application Receivers Code	15/15	Same number as ISA08 - Identifies the Receiver
GS04	Date	8/8	CCYYMMDD - Group date
GS05	Time	4/8	HHMM - Group time
GS06	Group Control Number	1/9	Control number from sender
GS07	Responsible Agency Code	1/2	X - Accredited Standards Committee

HIPAA FIELD - PAGE#	HIPAA FIELD NAME	FIELD LENGTH	DATA CONTENT
GS08	Version/Release ID Code	1/12	004010 – Version of above Standards
Example Segment GS*BE*123456789*DNC00*20000901*1706*0001*X*004010~			
<b>HEADER LEVEL</b>		<b>Occurs 1 time</b>	<b>Required</b>
ST - pB16	Transaction Set Header	2/2	ST
ST01 - pB17	Transaction Set ID Code	3/3	997
ST02 - pB17	Transaction Control number	4/9	unique no. assigned to transaction set
Example of Segment ST*997*0001			
<b>FUNCTIONAL GROUP RESPONSE HEADER</b>		<b>Occurs 1 time</b>	<b>Required</b>
AK1 - pB18	Segment Header	3/3	AK1
AK101 - pB18	Function Id Code	2/2	From the GS01 field on the input file
AK102 - pB18	Group Control Number	1/9	From the GS02 field on the input file
Example of Segment AK1*BE*0001			
<b>LOOP ID AK2 – Transaction Set Response Header</b>		<b>Occurs up to 999999 times</b>	<b>Required by IPRS</b>
AK2 - pB19	Segment Header	2/2	AK2
AK201 - pB19	Transaction Set ID Code	2/3	From the ST01 field on the input file
AK202 - pB19	Transaction Set Control Number	4/9	From the ST02 field on the input file
Example of Segment AK2*834*0001			
<b>LOOP ID AK2/AK3 – Data Segment Note</b>		<b>Occurs up to 999999 times</b>	
<b>Data Segment Note</b>		<b>Occurs 1 time per AK2/AK3 loop</b>	<b>Situational – Used to report errors in a data segment</b>
AK3 - pB20	Segment Header	2/3	AK3
AK301 - pB20	Segment Id Code	2/3	ID of the segment with an error
AK302 - pB20	Segment Position in Transaction Set	1/6	Numerical count position of the segment in the ST-SE loop
AK303 - pB21	Loop Id Code	1/2	Not used by IPRS
AK304 - pB21	Segment Error Code	2/80	1 = Unrecognized Segment ID 2 = Unexpected Segment 3 = Mandatory segment missing 4 = Loop occurs Over maximum times 5 = Segment exceeds Maximum Use 6 = Segment Not in Defined Transaction Set

HIPAA FIELD - PAGE#	HIPAA FIELD NAME	FIELD LENGTH	DATA CONTENT
			7 = Segment Not in Proper Sequence 8 = Segment Has Data Errors
Example of Segment AK3*NМ1*9**8			
<b>Data Element Note</b>		<b>Occurs up to 99 times</b>	<b>Situational – Used when there are errors to report in a data element or composite data structure</b>
AK4 - pB22	Segment Header	3/3	AK4
AK401 - pB22	Position in Segment		Where the bad element is located
AK401-01-pB22	Element Position in Segment	1/2	Element number in segment shown in AK301
AK401-02-pB22	Component Data Element Position in Composite	1/2	Component position in segment shown in AK301
AK402 - pB23	Data Element Ref. No.	1/4	Not Used
AK403 - pB23	Data Element Err. Code	1/3	1=Mandatory data element missing 2=Conditional required data element missing 3=Too many data elements 4=Data element too short 5=Data element too long 6=Invalid character in data element 7=Invalid code value 8=Invalid date 9=Invalid time 10=Exclusion Condition Violated
AK404 - pB23	Copy of Bad Data Element	1/99	Copy of the data in error
Example of Segment AK4*3 **5*SMOKEY MOUNTAIN CENTER			
<b>TRANSACTION SET RESPONSE TRAILER</b>		<b>Occurs 1 time</b>	<b>Required</b>
AK5 - pB24	Segment Header	3/3	AK5
AK501 - pB24	Transaction Set Acknowledgement Code	1/1	A=Accepted E=Accepted but errors were noted M=Rejected, Message Authentication Code R=Rejected W=Rejected, Assurance failed Validity Tests X=Rejected, Content After Decryption Could Not Be Analyzed
AK502 - pB25	Transaction Set Syntax Error Code	1/3	1=Transaction Set Not Supported 2=Transaction Set Trailer Missing

HIPAA FIELD - PAGE#	HIPAA FIELD NAME	FIELD LENGTH	DATA CONTENT
			3=Transaction Set Control Number in Header and Trailer Do Not Match 4=Number of Included Segments Does Not Match Actual Count 5=One or More Segments in Error 6=Missing or Invalid Transaction Set Identifier 7=Missing or Invalid Transaction Set Control Number 8=Authentication Key Name Unknown 9=Encryption Key Unknown 10=Requested Service Not Available 11=Unknown Security Recipient 12=Incorrect Message Length 13=Message Authentication Code Failed 15=Unknown Security Originator 16=Syntax Error in Decrypted Text 17=Security Not Supported 23=Transaction Set Control Number Not Unique within the Functional Group
AK503 - pB25	Transaction Set Syntax Error Code	1/3	Same as AK502
AK504 - pB26	Transaction Set Syntax Error Code	1/3	Same as AK502
AK505 - pB26	Transaction Set Syntax Error Code	1/3	Same a AK502
AK506 - pB26	Transaction Set Syntax Error Code	1/3	Same as AK502
Example of Segment AK5*R*3			
<b>FUNCTIONAL GROUP RESPONSE TRAILER.</b>		<b>Occurs 1 time</b>	<b>Required</b>
AK9 - pB27	Segment Header	3/3	AK9
AK901 - pB27	Functional Group Acknowledgement Code	2/3	A=Accepted E=Accepted but errors were noted M=Rejected, Message Authentication Code P=Partially Accepted, At Least One Transaction Set Was Rejected R=Rejected W=Rejected, Assurance failed Validity Tests X=Rejected, Content After Decryption Could Not Be Analyzed
AK902 - pB28	Number of Transaction Sets Included	1/1	From GE01

HIPAA FIELD - PAGE#	HIPAA FIELD NAME	FIELD LENGTH	DATA CONTENT
AK903 - pB28	Number of Transaction Sets Received	1/35	Number of Transaction Sets Read by the translator
AK904 - pB28	Number of Transaction Sets Accepted	1/25	Number of Transaction Sets Accepted
AK905 - pB28	Functional Group Syntax Error Code	1/3	1=Functional Group Not Supported 2=Functional Group Version Not Supported 3=Functional Group Trailer Missing 4=Group Control Number in Header and Trailer Do Not Agree 5=Number of Included Transaction Sets Does Not Match Actual Count 6=Group Control Number Violates Syntax 10=Authentication Key Name Unknown 11=Encryption Key Name Unknown 12=Requested Service Not Available 13=Unknown Security Recipient 14=Unknown Security Originator 15=Syntax Error in Decrypted Text 16=Security Not Supported 17=Incorrect Message Length 18=Message Authentication Code Failed
AK906 - pB29	Functional Group Syntax Error Code	1/3	Same as AK905
AK907 - pB29	Functional Group Syntax Error Code	1/3	Same as AK905
AK908 - pB29	Functional Group Syntax Error Code	1/3	Same as AK905
AK909 - pB29	Functional Group Syntax Error Code	1/3	Same as AK905
Example of Segment AK9*R*1*1**4			
<b>TRANSACTION SET TRAILER</b>		<b>Occurs 1 time</b>	<b>Required</b>
SE - p158	Segment Header	2/2	SE
SE01 - p158	Number of Included Segments	1/10	Transaction Segment Count
SE02 - p158	Transaction Set Control Number	4/9	Transaction Set Control Number. SE02 must = ST02
Example of Segment SE*17*0001~			
<b>FUNCTIONAL GROUP TRAILER</b>		<b>Occurs 1 time</b>	<b>Required</b>
GE	Interchange Control Header	3/3	GE
GE01	Number of Transaction Sets	2/2	Number of Transaction Sets (ST - SE)
GE02	Group Control Number	10/10	Must =- GS06
Example of Segment GE*1*0001~			

HIPAA FIELD - PAGE#	HIPAA FIELD NAME	FIELD LENGTH	DATA CONTENT
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INTERCHANGE CONTROL TRAILER		Occurs 1 time	Required
IEA	Interchange Control Header	3/3	IEA
IEA01	Number of included Functional Groups	1/5	Number of function groups (GS - GE)
IEA02	Interchange Control Number	9/9	Must = ISA13
Example of Segment IEA*1*000000001~			